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ATTORNEY DOCKET NO.: 2006579-0250 (CTX-118)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Braddy, <i>et al.</i>	Examiner:	Not yet Assigned
Serial No.:	10/711,730	Art Unit:	2171
Filing Date:	September 30, 2004		
Title:	A METHOD AND APPARATUS FOR REDUCING DISCLOSURE OF PROPRIETARY DATA IN A NETWORKED ENVIRONMENT		

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as Regular Mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on April 10, 2006.

Debi Goodison

Name: Debi A. Goodison

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, Applicant requests consideration of this Information Disclosure Statement.

Type of Statement

The present Information Disclosure Statement is:

- ☒ An *original* Information Disclosure Statement; or
- ☐ A *supplemental* Information Disclosure Statement.

Compliance with 37 CFR § 1.97

The present Information Disclosure Statement is being filed:

- ☒ Pursuant to 37 CFR § 1.97(b); no fee or certification is required:
- ☐ Within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
  - ☐ Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application;
  - ☒ Before the mailing of a first Office action on the merits; or
  - ☐ Before the mailing of a first Office action after the filing of a request for continued examination under § 1.114.
- ☐ Pursuant to 37 CFR § 1.97(c) after the dates listed above but before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *either*:
- ☐ Certifies that *either*:
    - ☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or
    - ☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making

reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement; or

☐ Includes herewith the fee set forth in § 1.17(p),

☐ Pursuant to 37 CFR § 1.97(d), after the mailing date of any final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application; Applicant hereby *both*:

☐ Certifies that *either*:

☐ each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement; or

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the information disclosure statement; and

☐ Includes herewith the fee set forth in § 1.17(p).

### Content of the Information Disclosure Statement

Applicant hereby makes of record in the above-identified application the reference(s) listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

Applicant includes copies of references as indicated below:

- ☒ A copy of each cited reference not indicated with an asterisk is included;
- ☒ Copies of references indicated with an asterisk on the attached form PTO-1449 are not included pursuant to 37 CFR § 1.98(a)(2)(ii);
- ☐ Copies of English translations of one or more non-English references are included.

Applicant hereby makes the following additional information of record in the above-identified application:

Applicant certifies that the Information Disclosure Statement *either*:

- ☐ Does not contain non-English language citations;
- ☐ Includes one or more translations of a non-English citation; or
- ☒ Does contain non-English language citations.

### Remarks

The submission of this Information Disclosure Statement should not be construed as a representation that a search has been made.

The submission of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in § 1.56(b) .

The submission of this Information Disclosure Statement shall not be construed as a representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 USC §102.

It is respectfully requested that:

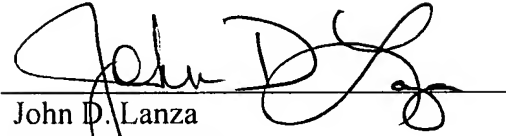
1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited patent(s) and publication(s) has (have) been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the patent(s) and publication(s) be printed on any patent which issues from this application; and
4. Applicant directs the Examiner's attention to the following related United States patent applications:

<b>Our Reference No.</b>	<b>Serial No.</b>	<b>Filing Date</b>
2006579-0550 (CTX-097)	11/365,355	3/1/2006
2006579-0445 (CTX-098)	10/956,832	10/1/2004
2006579-0504 (CTX-098DV)	11/272,598	11/14/2005
2006579-0254 (CTX-123)	10/711,731	9/30/2004
2006579-0448 (CTX-121)	10/956,764	10/1/2004

Notwithstanding any statements by Applicants, the Examiner is urged to form his or her own conclusions regarding the relevance of the cited reference(s).

Dated: April 10, 2006

Respectfully submitted,



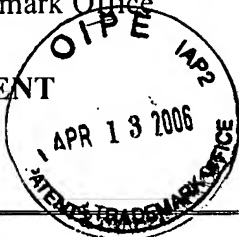
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**INFORMATION DISCLOSURE STATEMENT**

(Use several sheets if necessary)



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**U.S. PATENT DOCUMENTS**

Examiner's Initials	Cite No.	U.S. Patent No.	Applicant	Issue Date	Class	Subclass
	A1	5,504,677*	Pollin	04-02-1996	364	408
	A2	5,557,346*	Lipner <i>et al.</i>	09-17-1996	380	021
	A3	5,557,765*	Lipner <i>et al.</i>	09-17-1996	380	021
	A4	5,640,454*	Lipner <i>et al.</i>	06-17-1997	380	021
	A5	5,727,249*	Pollin	03-10-1998	705	040
	A6	5,745,573*	Lipner <i>et al.</i>	04-28-1998	380	021
	A7	5,956,403*	Lipner <i>et al.</i>	09-21-1999	380	021
	A8	5,991,406*	Lipner <i>et al.</i>	11-23-1999	380	021
	A9	6,272,632*	Carman <i>et al.</i>	08-07-2001	713	168
	A10	6,275,942*	Bernhard <i>et al.</i>	08-14-2001	713	201
	A11	6,519,643*	Foulkes <i>et al.</i>	02-11-2003	709	227
	A12	6,553,377*	Eschelbeck <i>et al.</i>	04-22-2003	707	10
	A13	6,550,012*	Villa <i>et al.</i>	04-15-2003	713	201

**U.S. PATENT APPLICATIONS**

Examiner's Initials:	Cite No.	Publication Number:	Applicant:	Publication Date:	Group:	Art Unit:
	A14	2002-0049608*	Hartsell <i>et al.</i>	04-25-2002		
	A15	2002-0049841*	Johnson <i>et al.</i>	04-25-2002		
	A16	2002-0059274*	Hartsell <i>et al.</i>	05-16-2002		
	A17	2002-0065864*	Hartsell <i>et al.</i>	05-30-2002		
	A18	2002-0095400*	Johnson <i>et al.</i>	07-18-2002		
	A19	2002-0105972*	Richter <i>et al.</i>	08-08-2002		
	A20	2002-0107903*	Richter <i>et al.</i>	08-08-2002		
	A21	2002-0107962*	Richter <i>et al.</i>	08-08-2002		
	A22	2002-0107971*	Bailey <i>et al.</i>	08-08-2002		
	A23	2002-0107989*	Johnson <i>et al.</i>	08-08-2002		
	A24	2002-0107990*	Johnson <i>et al.</i>	08-08-2002		
	A25	2002-0108059*	Canion <i>et al.</i>	08-08-2002		
	A26	2002-0116452*	Johnson <i>et al.</i>	08-22-2002		
	A27	2002-0133593*	Johnson <i>et al.</i>	09-19-2002		

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	A28	2002-0169887*	MeLampy <i>et al.</i>	11-14-2002		
	A29	2002-0174215*	Schaefer	11-21-2002		
	A30	2002-0174227*	Hartsell <i>et al.</i>	11-21-2002		
	A31	2003-0051130*	MeLampy <i>et al.</i>	03-13-2003		
	A32	2003-0105604*	Ash <i>et al.</i>	06-05-2003		
	A33	2003-0145222*	Gittler <i>et al.</i>	07-31-2003		
	A34	2003-0191971*	Klensin <i>et al.</i>	10-09-2003		
	A35	2003-0217105*	Zircher <i>et al.</i>	11-20-2003		
	A36	2003-0236837*	Johnson <i>et al.</i>	12-25-2003		
	A37	2003-0236861*	Johnson <i>et al.</i>	12-25-2003		
	A38	2003-0236919*	Johnson <i>et al.</i>	12-25-2003		
	A39	2004-0039594*	Narasimhan <i>et al.</i>	02-26-2004		
	A40	2004-0131042*	Lillie <i>et al.</i>	07-08-2004		
	A41	2004-0153606*	Schott	08-05-2004		
	A42	2004-0268361*	Schaefer	12-30-2004		
	A43	2005-0004942*	Madsen <i>et al.</i>	01-06-2005		
	A44	2005-0044089*	Wu <i>et al.</i>	02-24-2005		
	A46	2005-0044108*	Shah <i>et al.</i>	02-24-2005		
	A47	2005-0050053*	Thompson	03-03-2005		
	A48	2005-0063083*	Dart <i>et al.</i>	03-24-2005		
	A49	2005-0125663*	Funk	06-09-2005		
	A50	2005-0195835*	Savage <i>et al.</i>	09-08-2005		
	A51	2005-0165928*	Shu <i>et al.</i>	07-28-2005		
	A52	2006-0020937*	Schaefer	01-26-2006		
	A53	2006-0036570*	Schaefer <i>et al.</i>	02-16-2006		

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Examiner's Initials	Cite No.	Document No.	Country	Publication Date	Translation	
					Yes	No
	B1	WO 1999-60462	WO	Nov. 25, 1999		
	B2	WO 2001-75632	WO	October 11, 2001		
	B3	WO 2002-37267	WO	May 10, 2002		
	B4	WO 2002-23362	WO	March 21, 2002		



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	B5	WO 2002-39221	WO	May 16, 2002		
	B6	WO 2002-39260	WO	May 16, 2002		
	B7	WO 2002-39261	WO	May 16, 2002		
	B8	WO 2002-39262	WO	May 16, 2002		
	B9	WO 2002-39263	WO	May 16, 2002		
	B10	WO 2002-39264	WO	May 16, 2002		
	B11	WO 2002-39275	WO	May 16, 2002		
	B12	WO 2002-39276	WO	May 16, 2002		
	B13	WO 2002-39301	WO	May 16, 2002		
	B14	WO 2002-39666	WO	May 16, 2002		
	B15	WO 2002-39693	WO	May 16, 2002		
	B16	WO 2002-39695	WO	May 16, 2002		
	B17	WO 2002-41575	WO	May 23, 2002		
	B18	WO 2002-42922	WO	May 30, 2002		
	B19	WO 2002-43320	WO	May 30, 2002		
	B20	WO 2002-43364	WO	May 30, 2002		
	B21	WO 2002-46925	WO	June 13, 2002		
	B22	WO 2002-46944	WO	June 13, 2002		
	B23	WO 2002-46945	WO	June 13, 2002		
	B24	WO 2002-58349	WO	July 25, 2002		
	B25	WO 2002-069604	WO	September 6, 2002		
	B26	WO 2002-093369	WO	Nov. 21, 2002		
	B27	WO 2002-103521	WO	December 27, 2002		
	B28	WO 2004-003879	WO	January 8, 2004		
	B29	WO 2004-006041	WO	January 15, 2004		
	B30	WO 2004-017601	WO	February 26, 2004		
	B31	WO 2004-051964	WO	June 17, 2004		
	B32	WO 2004-066278	WO	August 5, 2004		
	B33	WO 2004-090672	WO	October 21, 2004		
	B34	WO 2005-024550	WO	March 17, 2005		
	B35	WO 2005-024567	WO	March 17, 2005		
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	B37	WO 2005-029313	WO	March 31, 2005		
	B38	WO 2005-029363	WO	March 31, 2005		
	B39	WO 2005-074232	WO	August 11, 2005		
	B40	WO 2005-084232	WO	Sept. 15, 2005		
	B41	WO 2006-012533	WO	February 2, 2006		
	B42	WO 2006-017388	WO	February 16, 2006		
	B43	CA 2307008	CA	October 29, 2000		
	B44	CA 2421609	CA	March 21, 2002		
	B45	AU 3403602	AU	May 15, 2002		
	B46	EP 1047239	EP	October 25, 2000		
	B47	EP 1049306	EP	November 2, 2000		
	B48	EP 1289225	EP	March 5, 2003		
	B49	EP 1330705	EP	July 30, 2003		
	B50	EP 1364296	EP	Nov. 26, 2003		
	B51	EP 1388812	EP	July 4, 2002		
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	B53	JP 2004509539	JP	March 25, 2004		X

**Non Patent Literature Documents**

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	C1	Anonymous, "Health Canada Takes Its Network Pulse," <i>Communications News</i> , 48, October 2001, <i>available at</i> <a href="http://www.findarticles.com/p/articles/mi_m0DUD/is_5_23/ai_86039142">http://www.findarticles.com/p/articles/mi_m0DUD/is_5_23/ai_86039142</a> .
	C2	Anonymous, "Multiple Platforms Bring Multiple Challenges," <i>Communications News</i> , 56, October 2001, <i>available at</i> <a href="http://www.findarticles.com/p/articles/mi_m0CMN/is_10_38/ai_79370488">http://www.findarticles.com/p/articles/mi_m0CMN/is_10_38/ai_79370488</a> .
	C3	Anonymous, "Remote Access," <i>Secure Computing</i> , 47-60, October 1997.
	C4	Antonoff, M., "Writing In A Spreadsheet," <i>Personal Computing</i> , 51-54, 1987.
	C5	Ao <i>et al.</i> , "A Hierarchical Policy Specification Language, and Enforcement Mechanism, for Governing Digital Enterprises", <i>3rd IEEE International Workshop on Policies for Distributed Systems and Networks (Policy 2002)</i> , 38-49, IEEE CS Press, 2002, <i>available at</i> <a href="http://www.cs.rutgers.edu/~tdnguyen/pubs/ao-policy-2002.pdf">http://www.cs.rutgers.edu/~tdnguyen/pubs/ao-policy-2002.pdf</a> .
	C6	Back <i>et al.</i> , "Contracts, Games and Refinement," TUCS Technical Report No. 138, <i>Turku Centre for Computer Science</i> , 1-15, November 1997.
	C7	Beers, C., "McAfee Shores Up Your Defenses," <i>Network Computing</i> , 38, June 2003,

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	C8	Bird, T., "Reduce the Threat from Computers," <i>Communications News</i> , 36, 38-39, March 2005, available at <a href="http://www.comnews.com/stories/articles/0305/0305reduce_threat.htm">http://www.comnews.com/stories/articles/0305/0305reduce_threat.htm</a> .
	C9	Brekne, T., "Mobile Agents and (In-)Security," <i>Telektronikk</i> , 34-46, 2000.
	C10	Carvalho <i>et al.</i> , "Supporting Flexible Data Feeds in Dynamic Sensor Grids Through Mobile Agents," Lecture Notes In Computer Science Vol. 2535, <i>Proc. 6th International Conference on Mobile Agents (MA 2002)</i> , 171-185, Springer-Verlag, Germany, 2002.
	C11	Cheng <i>et al.</i> , "Adjusting the Autonomy of Collections of Agents in Multiagent Systems," Lecture Notes In Computer Science Vol. 3501, 33-37, <i>Advances in Artificial Intelligence: Proc. 18th Conference of the Canadian Society for Computational Studies of Intelligence (Canadian AI 2005)</i> , Springer-Verlag, Germany, 2005.
	C12	Corradi <i>et al.</i> , "Policy-Driven Management of Agent Systems," Lecture Notes In Computer Science Vol. 1995, <i>Policies for Distributed Systems and Networks: Proc. International Workshop (Policy 2001)</i> , 214-229, Springer-Verlag, Germany, 2001.
	C14	Dulay <i>et al.</i> , "A Policy Deployment Model for the Ponder Language," <i>Proc. IEEE/IFIP International Symposium on Integrated Network Management (IM 2001)</i> , 529-543, Seattle, Washington, USA, IEEE Press, 2001.
	C14	Esposito, A. <i>et al.</i> , "Integrating Concurrency Control and Distributed Data into Workflow Frameworks: An Actor Model Perspective," <i>2000 IEEE International Conference on Systems, Man, and Cybernetics</i> , vol. 3, 2110-2114, IEEE Press, 2000.
	C15	Feldman, M., "Enterprise Wrappers for Information Assurance," <i>Proc. DARPA Information Survivability Conference and Exposition (DISCEX '03)</i> , IEEE Press, 2003.
	C16	Fratto, M., "Hammering Out a Secure Framework," <i>Network Computing</i> , 79-80, 82, 84-87, 2000, available at <a href="http://www.networkcomputing.com/1101/1101f3.html">http://www.networkcomputing.com/1101/1101f3.html</a> .
	C10	Funk Software, "Funk Software's Endpoint Assurance Solution. The Secure Product Foundation for Endpoint Integrity," 2005, available at: <a href="http://www.juniper.net/welcome_funk.html">http://www.juniper.net/welcome_funk.html</a> .
	C18	Graniero, P.A. <i>et al.</i> , "Investigating the Role of Fuzzy Sets in a Spatial Modeling Framework," <i>Proc. 9th IFSA World Congress and 20th NAFIPS International Conference</i> , 2370-2375, IEEE Press 2001.
	C19	Guy III, E.T., "An Introduction to the CAD Framework Initiative," <i>Electro 1992 Conference Record</i> , 78-83, Massachusetts, May 1992.
	C20	International Searching Authority, "International Search Report," PCT Application No. PCT/US05/028605, mailed on January 18, 2005, 7 pgs.
	C21	International Searching Authority, "Written Opinion," PCT Application No. PCT/US05/028605, mailed on January 18, 2006, 7 pgs.
	C22	International Searching Authority, "Partial International Annexed to Invitation to Pay fees," PCT Application No. PCT/US05/028607, mailed on December 14, 2005, 7 pgs.

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	C23	Jin, H. <i>et al.</i> , "A Distributed Dynamic $\mu$ Firewall Architecture With Mobile Agents And KeyNote Trust Management System," Lecture Notes in Computer Science, vol. 2513, <i>Proc. 4<sup>th</sup> International Conference on Information and Communications Security</i> , (ICICS 2002), 13-24, Springer-Verlag, Germany, 2002.
	C24	Jun, M. <i>et al.</i> , "Application of Mobile Scanning Agent in the Network Security," <i>J. of Systems Engineering and Electronics</i> , 15(3): 371-376, 2004.
	C25	Juniper Networks, "Juniper Networks Infranet Controllers Provide Unified Access Control for all Users throughout Your Network," (October 2005), <i>available at</i> : <a href="http://www.juniper.net/products/ua/dsheet/100137.pdf">http://www.juniper.net/products/ua/dsheet/100137.pdf</a>
	C26	Keromytis, A.D. <i>et al.</i> , "Transparent Network Security Policy Enforcement," <i>Proc. USENIX Technical Conference</i> , 215-225, San Diego, CA, USA, 2000.
	C27	Kim, S.C. <i>et al.</i> , "Study of Security Management System Based on Client/ Server Model," 1403-1408, IEEE Press, 1999.
	C28	Klein, D., "Developing Applications with a UIMS," <i>Proc. USENIX Applications Development Symposium</i> , 37-56, 1994.
	C29	Kosar, T. <i>et al.</i> , "A Framework for Reliable and Efficient Data Placement in Distributed Computing Systems," <i>Journal of Parallel and Distributed Computing</i> , vol. 65 (10), 1146-1157, Academic Press, Inc., Orlando, FL, USA, 2005.
	C30	Krief, F. <i>et al.</i> , "An Intelligent Policy-Based Networking Environment For Dynamic Negotiation, Provisioning And Control Of QoS," <i>IFIP TC6/WG6.2 &amp; WG6.7 Conference on Network Control and Engineering for QoS, Security and Mobility</i> , (Net-Con 2002), 285-290, Kluwer Academic Publishers, 2002.
	C31	Law, K.L.E. <i>et al.</i> , "Performance of a Multi-Tiered Policy-Based Management System," <i>IFIP TC6/WG6.2 &amp; WG6.7 Conference on Network Control and Engineering for QoS, Security and Mobility</i> , (Net-Con 2002), 203-214, Kluwer Academic Publishers, 2002.
	C32	Law, K.L.E. <i>et al.</i> , "Policy-Based Management With Active Networks," <i>IFIP TC6/WG6.2 &amp; WG6.7 Conference on Network Control and Engineering for QoS, Security and Mobility</i> , (Net-Con 2002), 129-140, Kluwer Academic Publishers, 2002.
	C33	Law, K.L.E. <i>et al.</i> , "UPM: Unified Policy-Based Network Management," <i>Proc. SPIE</i> , (ITCom 2001), Vol.4523, 326-337, Denver, CO, USA, 2001.
	C34	Lee, D.W. <i>et al.</i> , "Managing Fault Tolerance Information in Multi-Agents Based Distributed Systems," Lecture Notes in Computer Science, vol. 2690, <i>Intelligent Data Engineering and Automated Learning</i> , (IDEAL 2003), 104-108, Springer-Verlag, Germany, 2003.
	C35	Maes, S. <i>et al.</i> , "Identifiability of Causal Effects in a Multi-Agent Causal Model," <i>IEEE/WIC International Conference on Intelligent Agent Technology</i> , (IAT'03), 605, IEEE Press, 2003.
	C36	Mahler, R.P. <i>et al.</i> "Technologies for Unified Collection and Control of UCAVs," <i>Proc. Of SPIE</i> vol. 4729, 90-101, 2002.

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	C37	Matsuura, S. <i>et al.</i> , "An Extension of ECA Architecture and its Application to HTML Document Browsing," <i>IEEE International Conference on Systems, Man, and Cybernetics</i> , vol. 1, 738-743, IEEE Press 1999.
	C38	Maxim, M. and Venugopal, A., "Securing Agent Based Architectures," Lecture Notes In Computer Science Vol. 2480, <i>Proc. First International Conference on Engineering and Deployment of Cooperative Information Systems</i> , 220-231, Springer-Verlag, Germany, 2002.
	C39	McAfee System Protection Solutions, "Enforcing Endpoint Policies for Network Access Selecting the Right Solution for your Environment," 2005, <i>available at</i> : <a href="http://mcafee.com/us/local_content/white_papers/wp_mpe_securingyournetwork.pdf">http://mcafee.com/us/local_content/white_papers/wp_mpe_securingyournetwork.pdf</a>
	C40	McAfee System Protection Solutions, "McAfee Policy Enforcer," 2005, <i>available at</i> : <a href="http://www.mcafee.com/us/local_content/datasheets/ds_policy_enforcer.pdf">http://www.mcafee.com/us/local_content/datasheets/ds_policy_enforcer.pdf</a>
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